

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: )  
                        )      **Group Art Unit: To Be Assigned**  
**Ming Yan et al.**     )  
                        )  
                        )  
Serial No.: **To Be Assigned**     )  
                        )  
                        )  
Filed: **Herewith**         )  
                        )  
                        )  
For: **THERMAL CONTROL**     )  
      **OF OPTICAL COMPONENTS**

**Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450**

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Attached hereto are 2 pages of Form PTO-1449 (or substitute therefor) listing documents believed relevant to the above-referenced Application. Applicants respectfully request that these documents be considered by the Examiner and an initialed copy of each page be returned to the attorney of record.

This disclosure statement should not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

Applicants and the undersigned attorney believe that this disclosure complies with the requirements of 37 C.F.R. §§ 1.56, 1.97, and 1.98, and the Manual of Patent Examining Procedure §

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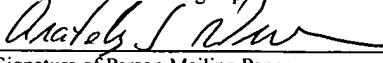
**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as Express Mail Post Office to Addressee, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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January 16, 2004  
Date of Deposit

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Anatoly S. Weiser  
Name of Person Mailing Paper  
  
Signature of Person Mailing Paper

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NEO-0001-US-01

609. If the Examiner considers otherwise, we respectfully request that the Examiner call the undersigned attorney so that any deficiencies can be remedied.

A copy of each document, other than U.S. patents and published applications, is enclosed. Some documents may have markings thereon. We do not intend any significance to attach to the markings.

These documents are not necessarily analogous art.

No fee is believed due for this filing because the filing is made within three months of filing date of a national application and before mailing of a first Office action on the merits. 37. C.F.R. § 1.97(b)(1) & (3).

To discuss any matter pertaining to the above-referenced Application, the Examiner is invited to call the undersigned attorney at (858) 720-9431.

Respectfully submitted,

Dated: 1/16/2004

  
\_\_\_\_\_  
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Substitute for form 1449/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	To Be Assigned
		Filing Date	1/16/2004
		First Named Inventor	Ming Yan
		Art Unit	To Be Assigned
		Examiner Name	To Be Assigned
Sheet	1	of	Z
		Attorney Docket Number	NEO-0001-US-01

**U. S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document for the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	<i>TO BE ASSIGNED</i>
(Use as many sheets as necessary)				Filing Date	<i>1/16/2004</i>
				First Named Inventor	<i>MING YAN</i>
				Art Unit	<i>TO BE ASSIGNED</i>
				Examiner Name	<i>TO BE ASSIGNED</i>
Sheet	<i>2</i>	of	<i>2</i>	Attorney Docket Number	<i>NEO-0001-US-01</i>

## NON-PATENT LITERATURE DOCUMENTS

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

**1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached**

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